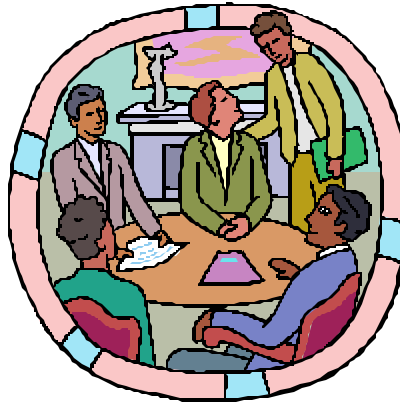


Fiscal Year 2002/2003



Fiscal Year 2002 – 2003 Grants Package
(Due Date July 17, 2002)

Environmental Justice:

**Context-Sensitive Planning for
Communities**

**Division of Transportation Planning
California Department of Transportation**



Table of Contents

General Information & Requirements.....	Page 4
Examples of Eligible Projects.....	Page 7
Application Screening.....	Page 8
Estimated Timeline.....	Page 8
Caltrans District Office Map.....	Page 9
Caltrans Environmental Justice Contacts.....	Page 10
Grant Application.....	Page 11
Grant Application format.....	Page 12
Sample Proposal Schedule & Funding.....	Page 13
Sample Work Element.....	Page 14

Environmental Justice: Context-Sensitive Planning for Communities

The California Department of Transportation (Caltrans), Division of Transportation Planning (DOTP) provides grants to promote Environmental Justice: Context-Sensitive Planning for Communities. Grants are awarded on a competitive basis to Metropolitan Planning Organizations, Regional Transportation Planning Agencies, cities, counties, Native American Tribal Governments, Community-Based Organizations, universities, transit agencies, and private non-profit organizations. Proposed projects should have a clear focus on transportation and community planning issues that address the interests of low-income, minority, Native American or any other under-represented communities. See examples on page 7.

An estimated \$3,000,000 million in grants and up to \$300,000 per application will be available for fiscal year 2002/2003. This amount is only an estimate, pending approval of the final state budget. If the final state budget for FY 2002/03 does not have funding for these grants, the applications will be held for possible funding in FY 2003/04.

Direct your programmatic questions to:

- Statewide Program Director : Reza Navai (916) 653-3424 reza_navai@dot.ca.gov

Direct your grant application questions to Caltrans Office of Policy Analysis and Research staff :

- Project Manager : Norman Dong (916) 651-6889 norman_dong@dot.ca.gov
- Project Assistant : Brian Abbanat (916) 653-3726 brian_abbanat@dot.ca.gov

or

- See page 10 for local, district contacts.

This application package and additional information are located on the Division of Transportation Planning web site at:

<http://www.dot.ca.gov/hq/tpp/grants.htm>

2002 - 2003 Division of Transportation Planning General Information & Requirements

Read the general information and requirements carefully. There is no restriction on how many projects can be submitted by any one organization for this application period. However, the same project may not receive funding from any other grant program administered by the Division of Transportation Planning within Caltrans. For the benefit of the applicant, DOTP may refer the proposed project to a different grant program if the proposal is better suited for a different type of funding. Generally, a complete application should consider the following items:

- Agency and contact person responsible for project management.
- Concise project description (include purpose and need).
- Clear description of the area (include a clear map or diagram).
- Justification for the project and how it meets eligibility for a grant.
- Public participation plan and involvement of diverse communities.
- Benefits of the project, including its significance to communities.
- Consequences of delaying or not funding the project.
- Disadvantaged Business Enterprise (DBE) information (for any subcontracting or consulting).
- Draft Overall Work Program Work Element or Proposal Summary Sheet.

Eligible Organizations:

Metropolitan Planning Organizations (MPO), Regional Transportation Planning Agencies (RTPA), cities, counties, and Native American Tribal Governments may apply for a grant independently as an applicant; but community-based organizations, universities, transit agencies, and private non-profit organizations are considered co-applicants and must have an MPO, RTPA, city or county as the applicant or lead administrative agency. Every application should have letters of support by all its partners, including city and county resolutions, as well as identifying the specific work and funding each partner will contribute.

Products and benefits:

Identify all the products and benefits to be produced from this project. Also, identify your organization's methods for identifying the communities who will benefit from this project and how you plan to distribute the final products and benefits.

Ownership:

Any technology or inventions that may result from the use of these grants are in the public domain and may not be copyrighted, sold or used exclusively by any business, organization or agency. The awarding agency reserves a royalty-free nonexclusive and irrevocable license to reproduce, publish or otherwise use and to authorize others to use for government purposes.

Financial requirements:

- Administrative costs for these projects must not exceed 10 percent of the total project cost.
- A local match (non-State and non-Federal funds) equal to 10% of total project cost is required, and no more than 5 percent of the total project cost can be in-kind.

2002 - 2003 Division of Transportation Planning

General Information & Requirements--continued

Project Development Schedule Requirement:

Include a time line, broken out by source of funding, to be spent per task. Please refer to grant specific requirements to determine timeline/completion date. Please see sample Proposal Schedule and Funding on page 13.

Overall Work Program Requirement:

Metropolitan Planning Organizations and Regional Transportation Planning Agencies must include their awarded projects in their Overall Work Programs (OWP). Projects awarded to counties or cities should be included as an informational item in the appropriate Metropolitan Planning Organization/Regional Transportation Planning Agency OWP. See page 14.

Audit Requirement:

Any grant recipient spending more than \$300,000 federal funds annually is required to perform an audit. See Office of Management (OMB) Circular A-133 – Audits of States, Local Governments, and Non-Profit Organizations dated June 24, 1997.

<http://www.whitehouse.gov/omb/circulars/a133/a133.html>

Pre-Award Audit Requirement:

Consultant contracts in excess of \$250,000 require a pre-award audit. See Caltrans Local Programs Procedures (LPP) 00-05 – Pre-Award Audit Requirements and Consultant Procurement dated December 15, 2000.

<http://www.dot.ca.gov/hq/LocalPrograms/lpp/LPP00-05.pdf>

Title VI Non-Discrimination Requirement:

Title VI of the U.S. Civil Rights Act prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving Federal financial assistance. Specifically Title VI provides that

No person in the United States shall, on the ground of race color, or national origin be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from the federal government.

The California Department of Transportation is responsible for complying with civil rights requirements and for monitoring compliance of any sub-recipients of funding. This is also applicable to sub-recipients of state funding. The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) each have requirements that recipients must demonstrate continued compliance with Title VI.

2002 - 2003 Division of Transportation Planning

General Information & Requirements

Public Participation/Involvement Requirement:

The federal Transportation Equity Act for the 21st Century (TEA-21) and its predecessor, the Inter-modal Surface Transportation Efficiency Act (ISTEA) both emphasize public participation in the decision-making process for transportation. The Caltrans Directors Policy No. 21 on Environmental Justice also “emphasizes the fair treatment and meaningful involvement of people of all races, cultures, and income levels, including minority and low-income populations from the early stages of transportation planning...through construction, operations and maintenance.”

Disadvantaged Business Enterprise (DBE) Requirement:

Applicants must comply with Title VI Civil Rights requirements regarding DBE programs.

See 49 CFR Parts 23 and 26 Participation by Disadvantaged Business Enterprises in the Department of Transportation Programs and Caltrans’ Local Assistance Procedures Manual Chapter 9 dated February 1, 1998.

<http://www.dot.ca.gov/hq/LocalPrograms/lpp/lpp01-04.pdf>

<http://www.fta.dot.gov/library/legal/frdot2299.pdf>

Examples of Eligible Projects

The following list, though not comprehensive, provides examples of eligible projects for funding. Proposed projects should have a clear focus on transportation and community planning issues that address interests of low-income, minority, Native American, or any other underrepresented communities.

- Identifying and addressing transportation needs for the community;
- Identifying and involving under-represented groups in planning and project development;
- Improving demographic and socioeconomic analysis to identify emerging communities;
- Planning and safety improvements for pedestrians and bicycles;
- Feasibility studies for transportation improvements;
- Community revitalization and economic development with a transportation component;
- Improving cooperation in community planning between public agencies and communities
- Developing guidelines and supporting information for EJ element of General Plan;
- Assessing impacts of transportation plans and projects on the community;
- Bilingual services for hearings, workshops and promotion of transportation services;
- Private Sector partnerships and foundation investment to enhance mobility and economic vitality;
- Promoting advanced transportation technology and energy efficiency in communities;
- Community-based design and public art associated with transportation facilities and Right-of-Way;
- Transportation projects with community health benefits;
- Improving access to telecommunication and internet where transportation benefit is demonstrated;
- Transportation and land use projects in central and inner cities and older suburbs;
- Transportation projects in underdeveloped rural and agricultural areas;
- In-fill development and brown field redevelopment with a transportation benefit for low-income and minority communities.

These grants are intended to develop practical guidelines and approaches for context-sensitive planning to the greatest extent possible. Academic research and modeling are not being stressed in this grant program.

Note: environmental studies, plans or documents normally required for project development under NEPA or CEQA are not eligible for these grants. Actual construction and procurement of equipment or materials, such as building a facility or purchasing vehicles and computers, are not eligible for these grants.

For grant application questions, contact either:

Norman Dong at (916) 651-6889. email: norman_dong@dot.ca.gov or
Brian Abbanat at (916) 653-3726. email: brian_abbanat@dot.ca.gov

Application Screening

- A broad selection committee comprised of Caltrans staff, other agencies and community organizations will convene to evaluate and rank all the proposed projects.
- All information provided by the applicant will be considered in determining the final ranking and recommendations of proposals that meet the minimum project evaluation criteria.

Applications should, at a minimum, respond to the following:

- Each question must be answered completely and all the required items provided in sufficient detail (i.e. maps, schedule, Programs, Work Element/Proposal Summary Sheet).
- Provide details of the project, including its purpose, justification and benefits (including statewide and/or regional significance). If the project points to some problem or deficiency in the transportation system, the proposal should have some measurement or indicator of the problem and demonstrate how the project will address it.
- Clearly describe all tasks, steps and products necessary to complete the project, including staff time, community involvement, analysis and research, development of alternatives, recommendations, implementation schedule and follow-up strategies.
- Provide a complete and feasible Proposal Schedule and funding document in the grant application and show reasonable, estimated costs.

Estimated Timeline

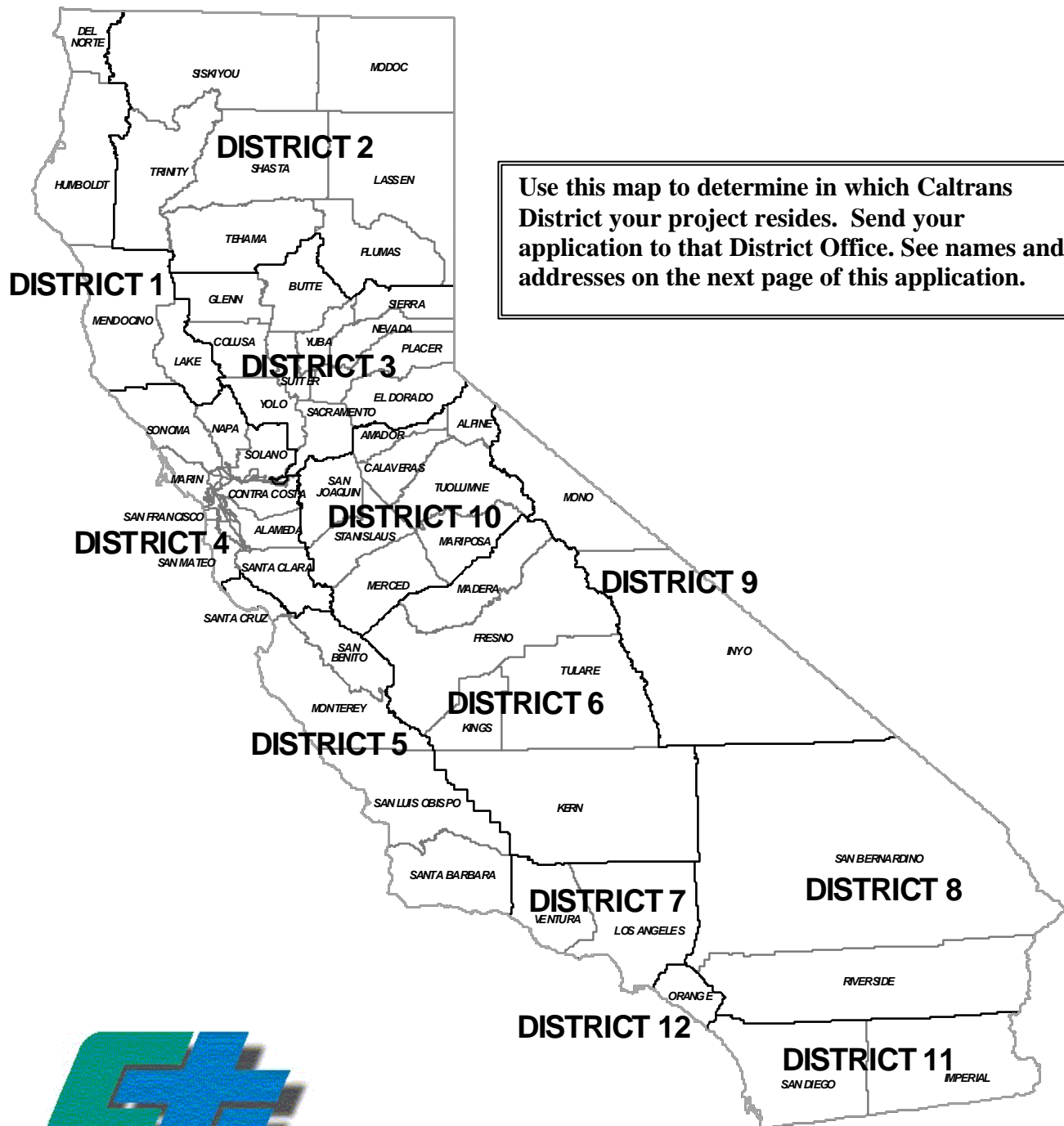
Three (3) complete copies of the application, including support letters, for the FY 2002/03 Environmental Justice Planning Grants must be received and postmarked on or before July 17, 2002 to your Caltrans District Planning Office (See pages 9 and 10). Applicants are encouraged to submit an electronic file of the application, in addition to hard copies, on a computer disk or CD.

- (May, 2002) / Applications available by mail, email, and website:
(http://www.dot.ca.gov/hq/tpp/ej_application.pdf)
- (July 17, 2002) / Final applications due to Caltrans District Planning Offices (see page 10)
- (August 2002) / Convening of review committee for application review and recommendations
- (December 2002)/ Estimated date of grant award announcement
- (February 2003) / Contracts and agreements executed for approved projects
- (March 2003) / Implementation Workshops
- (April 2003) / Work commences

Project Implementation:

Grantees are expected to work closely with Caltrans Headquarters, as well as District Planning staff to implement the planning project.

Caltrans District Boundaries



Caltrans Environmental Justice District Contacts

DISTRICT 1	Contact	MPO/RTPA
1656 Union Street Eureka, CA 95501 (P.O. Box 3700) 95502	Michelle Fell (707-445-6333) FAX: 707-441-5869	Del Norte LTC Humboldt COG Lake COG Mendocino COG
DISTRICT 2	Contact	MPO/RTPA
1657 Riverside Dr Redding, CA 96001 (P.O. Box 496073) 96049-6073	Don Anderson (530-225-3481) FAX: 530-225-3578	Lassen LTC Tehama LTC Modoc LTC Trinity LTC Plumas LTC Siskiyou LTC Shasta LTC
DISTRICT 3	Contact	MPO/RTPA
703 B Street Marysville, CA 95901 (P.O. Box 911)	Jeffrey Pulverman (916-327-3859) FAX: 916-323-7669	Butte CAG Sierra LTC Colusa LTC Glenn LTC El Dorado LT Nevada LTC Placer LTC Sacramento Area COG TRPA - Tahoe Basin TMPO - Tahoe Metropolitan Planning Organization
DISTRICT 4	Contact	MPO/RTPA
111 Grand Avenue Oakland, CA 94612 (P.O. Box 23660) 94623-0660	Doug Sibley (510-286-5503) FAX: 510-286-5559	MTC - Metropolitan Transportation Comm.
DISTRICT 5	Contact	MPO/RTPA
50 Higuera St. San Luis Obispo, CA 93401	Tim Rochte (805-549-3130) FAX: 805-549-3077	Monterey LTC Santa Cruz LTC San Benito COG AMBAG (Association of Monterey Bay Area Governments) Santa Barbara CAG San Luis Obispo COG
DISTRICT 6	Contact	MPO/RTPA
1352 W. Olive Dr. Fresno, CA 93728 (P.O. Box 12616) 93778	Marc Birnbaum (559-488-4260) FAX: 559-488-4088	Fresno COG Tulare CAG Kern COG Kings CAG Madera LTC

DISTRICT 7	Contact	MPO/RTPA
120 S. Spring Street Los Angeles, CA 90012 – 3606	Paul Perez (213-897-1731) FAX: 213-897-1337	SCAG - Southern California Association of Governments
DISTRICT 8	Contact	MPO/RTPA
464 W. Fourth St., 6th Floor San Bernardino, CA 92401 – 1400	Gary Green (909-383-5926) FAX: 909-383-4364	SCAG - Southern California Association of Governments
DISTRICT 9	Contact	MPO/RTPA
500 South Main St Bishop, CA 93514	Brad Mettam (760-872-0689) FAX: 760-872-0678	Inyo LTC Mono LTC
DISTRICT 10	Contact	MPO/RTPA
1976 East Charter Way Stockton, CA 95206 (P.O. Box 2048) 95201	Carlos Yamzon (209-948-3975) FAX: 209-948-7164	Alpine LTC Amador LTC Calaveras COG Mariposa LTC Merced CAG Tuolumne COG San Joaquin COG Stanislaus COG
DISTRICT 11	Contact	MPO/RTPA
2829 Juan Street San Diego, CA 92110 (P.O. Box 85406) 92186-5406	Mark Baza (619-688-2505) FAX: 619-688-2598	SANDAG - San Diego Association of Governments
DISTRICT 12	Contact	MPO/RTPA
3347 Michelson Drive, Suite 100 Irvine, CA 92612-0661	Everett Evans (949-223-5436) FAX: 949-724-2256	OCTA-Orange County Transportation Authority

2002 - 2003 Division of Transportation Planning – Grant Application

Three (3) complete copies of the application, including support letters, for the FY 2002/03 Environmental Justice Planning Grants must be received and postmarked on or before July 17, 2002 at your Caltrans District Planning Office (See pages 9 and 10). Applicants are encouraged to submit an electronic file of the application, in addition to hard copies, on a computer disk or CD.

General Information

Project Title:

Location:

	Applicant	Co-Applicant
Organization		
Contact #1		
Contact #2		
Mailing Address		
City		
Zip Code		
e-mail		
Telephone		
Fax		

Funding Information

Total Project Cost	\$
Local Match/In-Kind	\$
Identity Match Source	
Other Grants/Source	\$
State Funds Requested	\$

To the best of my knowledge and belief, all information contained in this proposal is true and correct.

Signature of Authorized Official

Telephone Number

Title

Date

2002 - 2003 Division of Transportation Planning – Grant Application

Project Title & Location: _____

Grant Program: Environmental Justice: Context-Sensitive Planning for Communities

Prepare a concise application for your project in the following order and format, limiting its maximum length to 12 pages, exclusive of endorsement letters. Proposed projects should have a clear focus on transportation and community planning issues that address the interests of low-income, minority, Native American, and other, under-represented communities.

Checklist:

- ☐ A. Provide a concise, one-paragraph summary of the proposed project, describing its purpose and how it will address the interests of the affected community.
- ☐ B. Provide a justification or need for implementing this project.
- ☐ C. Identify who will perform the work (city, county, community-based organization or consultant) along with the approaches to community participation and other tasks associated with this proposed project.
- ☐ D. Describe the proposed project's products and benefits to the community and whether it builds on any existing grants or local funding.
- ☐ E. Describe the proposed project's outcomes, such as developing methods of analysis and research, approaches to public participation, transportation alternatives, recommendations for regional planning, follow-up strategies, or possible, future capital and funding requirements that will benefit diverse communities.
- ☐ F. Describe the proposed project area (include a clearly labeled map and photos of the community, if applicable).
- ☐ G. Complete for each application a Proposal Schedule and Funding Chart and Work Element/Project Summary Sheet for the Overall Work Program.
- ☐ H. Also include in the application the following items:
 - 1. Describe how the final products will be distributed and to whom.
 - 2. If the applicant has received and managed grant funding in prior years, what was the outcome and was the work completed?
 - 3. Attach any letters of support endorsing the proposed project. Local resolutions will be needed if a project is actually awarded a grant under this program.
 - 4. List all State Assembly members and Assembly Districts within the project study area.
 - 5. List all State Senators and Senate Districts within the project study area.

PROPOSAL SCHEDULE & FUNDING (This sample schedule is for only one year.)

*Proposal must contain the following elements in a" landscaped format" on an 8.5" x 11" page.
(Project can cover up to two years with a second page.)*

Project Title:	System-wide Rider Survey SAMPLE																	
	Fund Source						Fiscal Year 2017											
TASKS	Responsible Party	Cost Total	Grant (%)	Local (%)	In-kind (%)	Other \$ (%)	JULY	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
RFP Consultant selection, Start-up	MTA	\$1,355	\$1,200	\$155			X	X	X	X								
Data Collection, review existing data and documentation	Consultant	\$4,066	\$3,600	\$466							X							
Public Workshops, Surveys	Consultant	\$10,844	\$9,600	\$1,244									X	X	X			
Final Review/Final Product	Consultant	\$10,844	\$9,600	\$1,244												X	X	X
TOTALS		\$27,109	\$24,000	\$3,109														

SAMPLE

WORK ELEMENT OR PROJECT SUMMARY SHEET

Work Element ____ - System Wide Rider-ship Survey

Objective

To conduct a countywide rider-ship survey of all MTA fixed routes, intra-community routes, inter-city inland routes, coastal routes and the three Dial-A-Ride service, to determine current rider-ship demographics and to collate statistics into a database to build historical information to be used for future transit planning.

Discussion

The MTA is a Joint Powers Agency (JPA) formed in 1976 by the County of Mendocino and four incorporated cities: Fort Bragg, Point Arena, Willits and Ukiah. MTA's public operation consists of three general public Dial – A- Rides, and eleven fixed bus routes (intra-city, inter-city and inter county). MTA provides transit services within Mendocino County and connects residents with key transit centers in Santa Rosa, located in Sonoma County.

The last system-wide on board survey of bus and Dial-A-Ride passengers was conducted in January 1995. Since that time we have added new service and we have never had a comprehensive profile of our Dial-A-Ride passengers. We also have before us numerous requests to add additional services including a fixed route within the city of Willits and between the community of Talmage and the City of Ukiah. Current passenger profile information is aging and updated data is required to adequately evaluate changes in population and demographics to plan the level and distribution of service.

Previous Work Completed

Since the last system-wide on board survey was conducted in 1995, various passenger profile surveys have been conducted through several planning projects and/or to gather information about a specific service area or route.

Tasks

- ____ .01 Consultant Selection and Start-up
- ____ .02 Review of Existing Data and documentation
- ____ .03 Conduct On Board Surveys
- ____ .04 Produce Final Report and Database Software

% of Work **Cost \$**

5% _____
15% _____
40% _____
40% _____

TOTAL 100%

Products

1. Passenger profile for all services.
2. Analysis of potential markets and the strategies to reach those markets.
3. Survey information entered into a database program for future comparisons and analysis.
4. Draft Final Reports

Revenues

Expenditures

Transportation Development Act	\$3,109 (11.47%)	MTA Staff	\$2,711 (10%)
FTA Section 5313(b)	\$24,000 (88.53%)	Consultant	\$24,398 (90%)
Total	\$27,109 (100%)		\$27,109 (100%)